

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): James O. Schreckengast et al

Confirmation No.: 7508

Application No.: 10/078971

Examiner: HOLMES, Michael

Filing Date: Feb 19, 2002

Group Art Unit: 2121

Title: Investment Analysis Tool And Service For Making Investment Decisions

Mail Stop Amendment
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:
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☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

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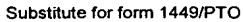
Eileen Lehmann

Attorney/Agent for Applicant(s)

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Application Number	10/078,971
Filing Date	February 19, 2002
First Named Inventor	SCHRECKENGAST, James
Art Unit	2121
Examiner Name	HOLMES, Michael B
Attorney Docket Number	10014432-1

U. S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

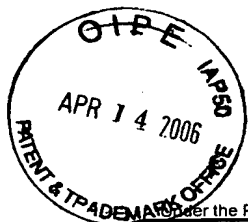
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
		DE 4305522	09-15-94	JUNGST, Ernst-W		
		EP 0616288	09-21-94	HART, Peter		
		EP 0410632	01-30-91	LIROV, Yuval V		

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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		K.D. Meyer-Gramann, S. Dieter; "DINO, ein Softwarewerkzeug", "KI-94 - Anwendungen der Kunstlichen Intellegenz, 18. Fachtagung fur Kunstl Intelligenz, 22/23, September 1994.	
		K.D. Meyer-Gramann, E.-W. Jungst: "Diagnose von modularen technischen System" F. Puppe, A Gunter (Hrsg.): 17-19, Feb. 1993	
		D. Heckerman, J.S. Breese, K. Rommelse: "Decision-Theoretic Troubleshooting," Comm. ACM Vol. 38 No. 3, 1995, pp. 49-57.	
		J.S. Breese, D. Heckerman: "Decision-Theoretic Troubleshooting: A Framework ...," Proceed. 12th Conf. on Uncertainty in Artificial Intelligence, 1-4. Aug. 1996, pp. 124-132	
		J.-F. Huard et al. "Fault Isolation based on Decision-Theoretic Troubleshooting," Tech. Rpt. 442-96-08, Ctr. for Telecomm. Rsch., Columbia Univ. NY, NY 1996	
		D. Heckerman, J.S. Breese, K. Rommelse: "Troubleshooting under Uncertainty," Proc. 5th Int. Wkshp. on Principles of Diagnostics, 1994, pp. 121-130.	
		H. Hajji et al. "Decision-Theoretic Diagnosis-Repair Planning Using Bayesian Networks," Proc. 12th Annual Conf. Jap. Soc. of Artificial Intell., Tokyo, June 1998, pp. 256-257.	

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